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ABSTRACT

Although the initial focus of the reform movement was on teachers, considerable attention has been devoted to administrators--especially principals--since it has been recognized that the quality of a principal's leadership has a significant impact on the effectiveness of the educational programs in our schools. The purpose of this guide is to assist principals and their evaluators to identify the philosophical roles of the principal, the proficiencies required of principals, the purpose of the evaluation, and efficient procedures for the evaluation process. Additional information contained within this document includes the perspectives of the experts, a case study of the principal evaluation process in a moderate-sized Connecticut school system, and concluding remarks. The ideas and activities addressed in this publication are designed to promote an evaluation program that will lead to better learning and growth experiences for principals. Ultimately, the evaluation and growth processes will ensure that only effective principals continue in the profession. Appended are an annotated bibliography of primary references on the abilities, competencies, and skills of the principal; the proficiencies of the effective principal cross-referenced to major studies of principalship; and the Principals' Survey. (KM)

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MONOGRAPH #2

The Connecticut Principals' Academy

A GUIDE TO THE PROCESS OF EVALUATING SCHOOL PRINCIPALS

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Preface

Principals and their evaluators tend to overlook the developmental nature of learning when they reflect on their own growth and development. Evaluators of principals should view themselves as teachers of principals and facilitators for learning. It is important for them to understand that principals vary in their learning styles just as teachers and students do. It is necessary for principals and their evaluators to have resources to assist them in the development of professional evaluation programs.

Student body officers discuss schedule options with Principal Nelson Quinby.

The purpose of *A Guide to the Process of Evaluating School Principals* is to assist principals and their evaluators to identify the philosophical roles of the principal, the proficiencies required of principals, the purpose of the evaluation and the efficient procedures for the evaluation process.

The ideas and activities addressed in this publication are designed to promote an evaluation program that will lead to better learning experiences for principals. These experiences will, in turn, encourage principals to continue promoting the improvement of school programs and the enhancement of student learning, while continuing their professional growth. Ultimately, it is hoped that the evaluation and growth processes will ensure that only effective principals continue in the profession.

A draft of this guide was shared with principals at focus group meetings held at each of the six regional educational service centers during January 1990. The response of principals was most positive and supportive, with a few suggestions made for additions and alterations. The suggestions for additions and modifications raised at these meetings were considered as the guide was finalized, and will continue to be addressed in the future as school systems strengthen their principal evaluation practices. I thank the many principals across the state who participated in these regional focus group meetings.

The thoughtful and thorough work of the Principal Evaluation Committee was facilitated by Edward Iwanicki and Mark Shibles, professors of educational leadership in the School of Education at the University of Connecticut, who served as consultants and researchers for the project, and by Sue Ford, administrative aide for the Connecticut Principals' Academy, who prepared several drafts of *A Guide to the Process of Evaluating School Principals*. I extend my thanks to Ed, Mark and Sue and to all committee members for their united effort.

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Background and Project Overview

Although the initial focus of the reform movement in education was on teachers, considerable attention has been devoted to administrators, especially principals, since it is recognized that the quality of a principal's leadership has a significant impact on the effectiveness of educational programs in our schools (Andrews and Soder, 1987; Duke, 1987; Greenfield, 1987; Leithwood, 1988; Sergiovanni, 1987). When principal quality becomes an issue, attention is focused on evaluation procedures. *Time for Results: The Governors' 1991 Report on Education* (National Governors' Association, 1986) included the need to "Develop a system to evaluate principals effectively and accurately" (p. 59) as a priority in the area of leadership and management. The national focus on the need to evaluate principals effectively is particularly relevant in Connecticut, since the **Education Enhancement Act** included provisions for strengthening personnel evaluation practices in schools. The Connecticut State Department of Education developed new Guidelines for Teacher Evaluation Programs as a result of this Act. These guidelines require that school systems develop procedures for the evaluation of principals which are based on sound proficiency criteria and include a strong professional growth and development component.

Although the **Education Enhancement Act** created the need to evaluate principals effectively, Connecticut school systems have not devoted extensive attention to this process. Thus, the Connecticut Principals' Academy assumed responsibility for a project which addressed the purposes of:

- exploring the approaches to the evaluation of school principals advocated by experts in this area; and
- developing a guide to the process of evaluating school principals in Connecticut.

Responsibility for this project was assumed by the Principal Evaluation Committee which consisted primarily of principals who were appointed by the Academy. Appointments were made to ensure representation with respect to school level and geographic location. Care also was taken to ensure that the Connecticut Association of Secondary Schools, the Elementary and Middle School Principals' Association of Connecticut, and the regional educational service centers were properly represented. The goal of the committee was to develop a guide to the process of evaluating school principals. This guide would not prescribe how principals should be evaluated, but rather, would orient school system personnel to issues which should be considered when developing a process for evaluating principals.

The Work of the Committee

The work of the committee consisted primarily of three activities as noted below:

- *October to December 1988* — meeting with experts to become familiar with their perspectives on the principal evaluation process;
- *January to March 1989* — reviewing the information provided by the experts and soliciting examples of promising principal evaluation practices from principals in Connecticut; and
- *April to October 1989* — preparing a guide to the process of evaluating school principals.

The remaining sections of this guide focus on the product of the Principal Evaluation Committee's efforts.

Drawing on the Perspectives of the Experts

A list of consultants known nationally for their work in principal evaluation was developed and the four listed below were invited to meet with the committee during the fall of 1988:

Richard L. Andrews
University of Washington

Daniel L. Duke
University of Virginia

Edgar A. Kelly
Western Michigan University

Kenneth A. Leithwood
Ontario Institute for Studies in Education

Relevant readings were distributed to committee members prior to their meetings with these consultants. These meetings were organized so that each consultant made a presentation of approximately 90 minutes, including time for questions. Discussions with the consultant and among committee members continued through dinner, after which committee members broke into two subgroups which focused on the following questions:

- What major issues did the consultant raise?
- What is the consultant's position on principal evaluation?
- What are the strengths and/or weaknesses of the consultant's position for evaluating principals in Connecticut?
- Did the consultant raise any critical issues which need to be examined in greater depth by the committee?

Facilitators Edward Iwanicki and Mark Shibles recorded the points raised through discussions of these questions. The committee then met as a whole to review products of the subgroup discussions and to pursue any issues which needed to be addressed in greater depth with the consultant. Proceedings of the outcomes of each of these meetings were compiled by the facilitators and shared with committee members. In essence, these proceedings conveyed what the committee believed the experts had to say about the principal evaluation process. The views included in these proceedings provided direction as the committee developed this guide.

What Did the Experts Have To Say?

The experts shared many valuable perspectives on the principal evaluation process. Duke noted that one's conception of the effective principal is critical to the evaluation process. A broad range of criteria can serve as the basis for principal evaluation. These criteria can be combined or weighted differently, depending on the needs of the school system. It is important to consider carefully the role of internal and external forces on the school and school system when (a) identifying the criteria which will serve as the basis for a principal's evaluation; and (b) determining the purposes for evaluation. When determining these purposes, it is critical to distinguish between those which are primary and those which are secondary. While all purposes are important, those which are primary will be weighted more heavily when evaluating a principal's effectiveness. For example, as school systems focus on the instructional leadership role of the principal, Duke notes that situational leadership is key to a principal's effectiveness. Orchestration through vision is preferred over a reactionary, crisis-oriented style.

Kelley emphasized that principal effectiveness should be tied to school purposes. School and principal effectiveness are functions of whether school purposes are being accomplished. Three to four priority school purposes should be identified to serve as the basis for the principal's evaluation. Then multiple data sources should be used to collect information about the principal's role in getting these purposes accomplished. Kelley, as well as the other experts, did not support using behavioral checklists to evaluate principals. He emphasized the need to focus on school outcomes rather than on

a principal's behaviors. If a principal can not get the job done, then a behavioral checklist might be helpful in identifying the source of the principal's problems.

Leithwood's position on principal evaluation is similar to Kelley's. Leithwood views the principal as a problem solver. Thus, project development is the front end of appraisal. Principal appraisal begins with the development of a project based on a thorough assessment of school needs and problems. The appraisal process then focuses on the principal's ability to achieve the outcomes of that project.

Principal James Aseltine confers with students at the I. A. Robbins Middle School, Farmington.

Andrews believes that the effective school principal is both a good manager and a successful instructional leader. His research indicates that these are complementary rather than competing roles. Time management is key to the principal's ability to balance effectively one's role as instructional leader and building manager. Andrews advocates that school systems focus their evaluation process on the instructional leadership role of the principal. A primary reason for this emphasis is his research which indicates that students in schools where principals exert a stronger instructional leadership role exhibit greater achievement gains on standardized tests than do students in schools where principals assume a weaker instructional leadership role.

All of the experts agreed that the evaluation process must be tailored to the individual needs of the principal. Principals at different grade levels might need to be evaluated differently. The school context needs to be considered when evaluating principals at the same grade levels within a particular district. Furthermore, the experts noted that principal evaluation is not a yearly process, but rather, a 3-5 year process with periodic formative reviews.

Through its meetings with the experts the committee found that there is no single, correct way to evaluate principals. Research on principal evaluation is currently too sparse to guide practice. The experts agreed that there are (a) certain components which should be included in an effective principal evaluation process, and (b) there are alternatives within each of these components which can be explored as a school system develops a principal evaluation process consistent with its needs.

This second point is particularly important. A school system simply should not take an approach which is being used successfully to evaluate principals in one district and apply it to the evaluation of its own principals. The school system must take the appropriate time to consider the basic beliefs and assumptions which serve as the basis of the evaluation process it is considering for adoption and tailor the process to its particular needs.

Components which the experts agreed should be included in an effective principal evaluation process are:

- a philosophical statement on the role of the principal in the school system;
- a clear definition of the purposes of principal evaluation;
- an accurate listing of the proficiencies of the principal; and
- efficient procedures for evaluating the principal.

Consistency among these components of the evaluation process is critical. Purposes and proficiencies must convey the same message as presented in the philosophical statement on the role of the principal. Procedures should address adequately each of the purposes of principal evaluation which have been defined. As a school system further develops or strengthens its principal evaluation process, it is essential that (a) the components identified by the experts are included, and (b) there is consistency among these components. Subsequent sections of this guide will focus on each of these components of the principal evaluation process.

It is important to note that, in addition to meeting with these experts, the Principal Evaluation Committee solicited examples of promising principal evaluation practices through a mailing to all principals in Connecticut. The information received from principals was reviewed and considered closely as the committee proceeded with its deliberations. For the most part, the evaluation practices shared by principals were consistent with the directions advocated by the experts.

Developing a Philosophical Statement on the Role of the Principal

A philosophical statement on the role of the principal should capture the essence of the effective principal and portray a positive image of the principalship. The **Principal Selection Guide** (Sashkin, 1987), developed by the U. S. Department of Education, achieves these ends. It describes the principal in terms of the following major roles:

- Creating A Vision

  Effective school leaders have broad visions that are clear, active, ambitious and performance oriented. They are intellectually and emotionally committed to meeting challenges, producing achievements, and uniting the school in shared dedication to excellence. They also enlist the community's support by communicating their goals for the school to parents and other local residents. . . **(Principal Selection Guide**, p. 5).

- Creating Conditions to Achieve the Vision

  Effective principals create conditions to help them realize their vision . . . **(Principal Selection Guide**, p. 6).

- Inspiring, Encouraging and Rewarding Achievement

  Educational leaders improve their schools by motivating the staff, students and community to work toward their shared goals. Effective principals support, inspire and motivate people by fostering a spirit of teamwork and collegiality. They also value initiative, reward success, and celebrate accomplishments **(Principal Selection Guide**, p. 7).

While it is important for school systems to consider these roles when developing their philosophical statements, the key is to develop a statement which conveys the role and function of the principal in a manner which is consistent with the beliefs of the school board members, professional staff and parents in that community. Exhibit 1 contains an example of a philosophical statement on the role of the principal which was compiled through a review of such statements shared by some Connecticut school systems. It is evident from reviewing this statement that clear expectations have been set for the principal and that they should have definite implications for the principal evaluation process.

Exhibit 1

A Philosophical Statement on the Role of the Principal[1]

The effective principal realizes that leadership is crucial when developing high expectations for success and striving for excellence in schools. The effective principal leads by example, by force of ideas, by devotion to fairness and by a positive outlook on what can be achieved in schools.

Principals of outstanding schools are committed to and become engaged in meaningful instructional improvement processes. They increase the probability of good teaching and thereby increase the chances of improved student learning. Effective principals are concerned about the accomplishments of their students and teachers. Without doubt, outstanding principals are also organized, effective managers.

Defining the Purposes of Evaluation

The purposes of evaluation state why the principal is being evaluated. The **ERS Report: Evaluating Administrative Performance** (Carnes, 1985) includes almost 30 purposes for evaluating building administrators. These purposes can be reduced to the following basic reasons for evaluation which need to be addressed in an effective principal evaluation process:

- *School Improvement* — to promote the improvement of school programs and the enhancement of student learning;
- *Professional Growth and Development* — to foster the professional growth and development of principals; and
- *Accountability* — to ensure that only effective principals continue in that role in the school system.

School systems tend to place more emphasis on those purposes dealing with school improvement and professional growth, and less emphasis on those dealing with accountability. This approach is most appropriate since the goals are to select highly qualified principals, to focus their attention on school improvement needs, and to strengthen the performance of these administrators using an evaluation process which fosters professional growth and development. In settings where this approach is taken, less attention needs to be paid to the traditional accountability purposes of evaluation.

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[1] This example was developed through a review of numerous philosophical statements on the principal developed by Connecticut school systems. Therefore, readers may find segments of their philosophy embedded in this example. Thanks are extended to the many school systems who shared the information which was used to compile this example.

Deriving and Validating the Proficiencies of the Effective Principal[2]

W. James Popham (1975, p. 283) has noted that "Among Mankind's Perennial Quests [are] (1) The Holy Grail, (2) The Fountain of Youth, and (3) A Valid Index of Teaching Skill. " In recent years, considerable progress has been made in reaching consensus on indices of effective teaching which can guide the teacher evaluation process. Similar progress has not been made in identifying valid indices of principal performance. In preparing this guide, an extensive review of the literature on the abilities, competencies and skills of the effective principal was conducted to identify a set of proficiencies to guide the principal evaluation process. An annotated bibliography of the primary references included in this review is presented in the Appendix. The rationale for using the term proficiencies rather than competencies is that used by the National Association of Elementary School Principals. "The more common word in educational circles is 'competencies.' However, 'competency' merely suggests adequacy. 'Proficiency,' on the other hand, is defined as 'advancement toward the attainment of a high degree of knowledge or skill,' . . ." (1986, p. 1).

Two trends became evident through close examination of the literature on the proficiencies of the effective principal. First, there were studies which defined the principalship comprehensively, but mechanistically. To be effective, the principal would need to conform to a somewhat bland set of bureaucratic expectations. Secondly, there were studies which defined the principalship thoroughly, but academically. These were studies which defined the criteria of principal effectiveness using a research perspective (i.e., what Leithwood called the "high ground" perspective) instead of the language of the school workplace (i.e., what Leithwood called the language of the "swamp"). In summary, the review of the literature did not yield a meaningful, job-relevant set of proficiencies which could be used to evaluate principals in Connecticut. Thus, a set of principal proficiencies was derived through a review of the major studies of principal effectiveness. The Appendix includes a listing of these proficiencies, cross-referenced to the major studies of principal effectiveness.

The proficiencies derived from the literature were validated through a two-step process. First, these proficiencies were reviewed by members of the Principal Evaluation Committee. Through this process some proficiencies were clarified and others were added. Secondly, the *Principals' Survey* was mailed to all principals in Connecticut to determine the extent to which they perceived each proficiency as important to their effectiveness in their current position. A copy of this survey is included in the Appendix. Analyses of the responses to this survey (n=581) resulted in the proficiencies of the effective principal listed in Exhibit 2.

When responding to the *Principals' Survey*, principals rated how important each proficiency was to their effectiveness on a five-point scale, i.e., 1= very low importance to 5 = very high importance. On average, principals viewed each of the the proficiencies in Exhibit 2 to be of high (4) to very high (5) importance with respect to their effectiveness. Further analyses of the responses to the *Principals' Survey* using the statistical technique of factor analysis supported grouping the proficiencies into the three categories of leadership, human relations and management. As noted in Exhibit 2, the proficiencies for each category are clustered further according to those factors derived through the factor analysis of the *Principals' Survey*. For example, leadership is comprised of two factors—defining direction and instructional development.

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[2] It is important to acknowledge the contributions of Maria M. Melendez and Dale E. Vannie, both doctoral students in educational administration at the University of Connecticut, to the development of this section of the guide. Also, several members of the Professional Development Plans and Programs Unit of the Bureau of Professional Development and Learning Resources of the Connecticut State Department of Education provided valuable feedback on earlier drafts of this section. Robert K. Gable and Marian Wolf of the University of Connecticut provided valuable assistance in the analyses of the responses to the principals' survey.

Exhibit 2

The Connecticut Principals' Academy
PROFICIENCIES OF THE EFFECTIVE PRINCIPAL

LEADERSHIP

Defining Direction

1. Exercises vision in defining the school mission and goals
2. Effectively and clearly communicates goals within and without the school community
3. Sets high expectations and standards for attainment of school goals
4. Identifies and analyzes relevant information before making decisions or committing resources
5. Provides incentives to excel for both teachers and students
6. Communicates clearly and persuasively
7. Serves as a role model

Instructional Development

8 Monitors student achievement
9. Collects, analyzes and interprets student and school data to identify areas for instructional and program development
10. Uses knowledge of research in curriculum and instruction to initiate school improvement
11. Evaluates professional and support staff constructively
12. Coaches teachers to enhance their instructional effectiveness
13. Engages in a program of ongoing professional development

HUMAN RELATIONS

Consideration

14. Gives specific and frequent feedback
15. Maintains positive school climate through the use of humor
16. Recognizes and praises the accomplishments of students, teachers and staff

Collaboration

17. Fosters teamwork and collegiality
18. Elicits participation in decision making
19. Facilitates group processes and resolves conflict
20. Encourages participatory leadership on the part of the staff
21. Listens to others

MANAGEMENT

School Program Management

22. Plans and prepares an appropriate budget and manages funds effectively
23. Seeks and allocates appropriate resources (materials, money, time) to support curriculum
24. Implements school programs within the confines of district goals and policies
25. Schedules curricular and co-curricular activities efficiently and effectively
26. Understands and applies knowledge of organizations and community politics in generating support for the school
27. Fosters community support for the school and its programs

Rules and Regulations

28. Identifies norms, guidelines and procedures for school operation
29. Develops clear school rules
30. Develops an effective discipline policy
31. Accepts responsibility for in-school behavior of students, teachers and staff.

General Operations

32. Monitors the overall operation of the school
33. Ensures that the physical plant is kept in good order
34. Protects instructional time
35. Maintains a visible presence in the school

Using the Proficiencies to Evaluate Principals' Performance

The proficiencies in Exhibit 2 are presented as a general framework for principal evaluation. Before they can be used they need to be reviewed to identify those that are relevant to a principal in a particular school context. It is well accepted that a principal's responsibilities vary by school level and community, and even across schools within a community. Thus, it is important that these proficiencies be discussed with principals and tailored to their needs before they are used as a basis for the principal evaluation process. This might be accomplished in two steps. First, the school system's personnel evaluation steering committee might identify those proficiencies which will serve as a basis for the principal evaluation process. Secondly, this set of proficiencies might be tailored to the needs of particular principals during the conferences conducted at the outset of the principal evaluation process.

Structuring the Principal Evaluation Process

A school system can begin to structure the process for evaluating its principals only if it has (a) developed a well-articulated philosophical statement on the role of the principal, (b) clearly defined the purposes of principal evaluation and (c) specified those proficiencies which contribute to principals' effectiveness. Failure to devote sufficient attention to these components usually causes problems as a school system attempts to structure and later implement its principal evaluation process. The commonly accepted process for evaluating principals is the performance-objectives approach described in Exhibit 3. Each aspect of this approach will be discussed in the subsequent sections of this guide.

Determine Needs

This aspect of the evaluation process is the most significant, since it identifies the needs the principal must address. Two types of needs are determined: school improvement needs; and professional growth needs. When identifying school improvement needs, the question asked is *What problems should the principal address to strengthen the quality of the school and its programs?* Some typical problems which confront principals are improving test scores, improving efforts to meet the needs of the average child, strengthening communication between the school and home and fostering cooperative relationships with business and industry. As the first step in the evaluation process, it is important for the principal and supervisor to identify the range of problems which impact on the quality of the school and its programs and then to rank these problems in light of the goals set by the board of education. Building staff should be involved in this process to the extent possible.

When identifying professional growth needs, the question asked is *What proficiencies should the principal address to strengthen performance?* For example, a principal may need to foster greater participation in decision making, evaluate professional staff more constructively or be more careful in protecting instructional time. Such professional growth needs usually are identified by the principal through personal reflection and discussions with a supervisor. Feedback from staff is most helpful during this process. Some principals survey their staff as part of the process of determining their professional development needs. Such surveys are helpful to the extent that the anonymity of the respondents is maintained and the results are fed back only to the principal for confidential use. Personal reflection, supervisor input and feedback from staff help the principal to identify a set of potential professional growth needs which then are listed in light of their perceived impact on the principal's effectiveness.

Timing is critical when identifying school improvement and professional growth needs. This process should begin toward the end of the school year and continue into the summer. The summer school vacation period is a good time for the principal and supervisor to discuss potential needs and to identify those needs which will serve as a basis for the the principal's evaluation during the coming school year.

Exhibit 3

A Step-by-Step Evaluation Procedure for Principals[3]

I. Determine Needs

1. The principal reviews:
   a. position description
   b. administrative skills
   c. past evaluation reports
   d. current district and/or building goals
2. The supervisor (evaluator) reviews:
   a. the above four items
   b. current performance in relation to the requirements of the job

II. Formulate Work Plan for the Year

1. Principal identifies needs for the coming year based on perceptions of past and current performance.
2. Supervisor reflects on the principal's needs based upon past and current performance.
3. Both confer to decide whether the evaluation objective should be a development plan to upgrade existing competencies and/or an improvement plan to correct specific deficiencies.
4. Both discuss necessary activities to achieve the goals of the jointly agreed-upon work plan.

III. Complete and Implement Work Plan

1. Principal puts work plan in writing, gets approval of supervisor and carries out plan's activities.
2. Supervisor reviews and reacts to principal's work plan and monitors progress in carrying it out.
3. Both parties meet to conduct progress reviews in December and make modifications in plan if needed.
4. Principal completes implementation of work plan.

IV. Assess Results

1. Principal completes self-evaluation form and transmits it to supervisor.
2. Supervisor receives evaluation from principal, completes evaluation of principal's performance and notifies principal of date and place of evaluation conference

V. Discuss Results

1. Principal and supervisor meet and review principal's evaluation and supervisor's evaluation.
2. They sign final evaluation forms.
3. They plan for next evaluation cycle.

Source: "Leadership Excellence Achievement Plan," *The Practitioner*, National Association of Secondary School Principals.

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[3] **An excerpt from:** McCurdy, J. (1983). *The Role of the Principal in Effective Schools: Problems & Solutions* (an AASA Critical Issues Report). Arlington, VA: American Association of School Administrators, p. 89.

Formulate Work Plan for the Year

Deciding which needs will serve as a basis for the principal's evaluation is the first step in formulating a work plan. This decision should be made collaboratively by the principal and supervisor. Usually, considerable thought must be given to this decision since the principal and supervisor are choosing from a broad range of worthwhile school improvement and professional growth needs. In weighing the alternatives, the basic question becomes *Where can we best focus the principal's efforts to achieve the greatest return with respect to improving the quality of the educational program in the school?*

The next step in developing a work plan is to translate the needs which will serve as a basis for the principal's evaluation into objectives. In doing so, the format used with principals should be similar to that used by teachers in the school system. When writing objectives to address a specific need, one is really developing a work plan to addresses that need. In developing this work plan, principals should be keep in mind that a need is a discrepancy between some observed outcome and a desired standard. Thus, one of the first items in the work plan is an objective or series of objectives which state what the principal is going to do to resolve that discrepancy.

The next item in the work plan is a description of the activities the principal will pursue to achieve the objective(s). When delineating these activities, it is essential to project how long it will take to achieve the objective. In some cases the objective may be achieved over the next year, while in other cases it may take two, three or even four years. For work plans which take longer than a year to complete, it is important to cluster the objective and concomitant activities by the year in which they will be pursued.

The final aspect of the work plan includes those indicators which the principal will use as evidence that specific objectives have been achieved. Although such evidence may be qualitative or quantitative, it should be stressed that this evidence must be observable, i.e., changes which can be seen; or measurable, i.e., outcomes which can be measured. Consideration should be given to how this evidence will be weighed to assess the extent to which an objective has been achieved. If evaluation is part of a performance-based salary program, the levels at which objectives are achieved should be related to compensation. Translating a need into objectives consists of developing a work plan through focusing on the following questions:

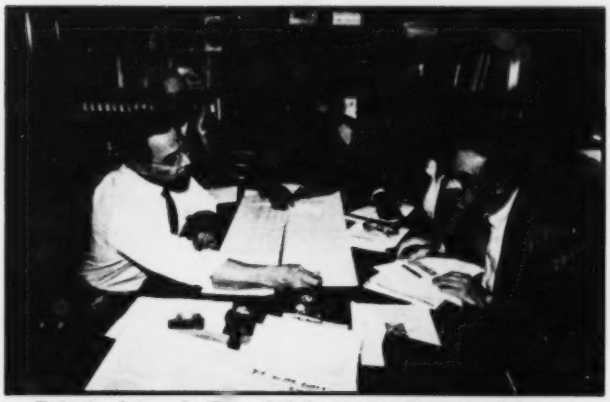
- *What am I going to do about the need or problem (objectives)?*
- *How am I going to proceed (activities)?*
- *How will I know if I am successful (indicators)?*

Complete and Implement Work Plan

As the principal develops a work plan for each of the needs which will serve as a basis for evaluation, the needs and work plan are discussed with and, finally, approved by the principal's supervisor. Just as the principal and supervisor collaboratively developed the work plan, it is important that they continue to work collaboratively during the implementation of this plan. It is also a matter of concern that the supervisor both monitors and supports the principal as progress is made with respect to the work plan. As problems are encountered there may be a need to modify some aspects of the work plan to achieve the desired outcomes. Formal reviews of the principal's progress in implementing each work plan should be conducted in December and March. Necessary modifications in the work plan usually are made during these formal reviews. The review process should focus on each work plan with respect to the following questions:

- *What actions has the principal taken to deal with the need or problem?*
- *What has been the impact of these activities?*

Assess Results



Principal Amado Cruz (left foreground) meets with some members of the Hartford High School staff.

Toward the end of the school year, the principal prepares an evaluation report which documents what has been accomplished with respect to each of the needs which served as the basis of his/her evaluation for that year. In developing this report, it is important to focus on the objectives of the work plan for each need as well as on evidence of what has been accomplished. The emphasis of this evaluation report should be on results with respect to the objectives in each work plan, rather than on the activities which were pursued. The principal should share this evaluation report with his or her supervisor and meet to discuss these results in May of the school year. Early May is a good time, since if there is a need to gather any further evidence with respect to any of the objectives in the work plans, this still can be done before the close of the school year.

Discuss Results

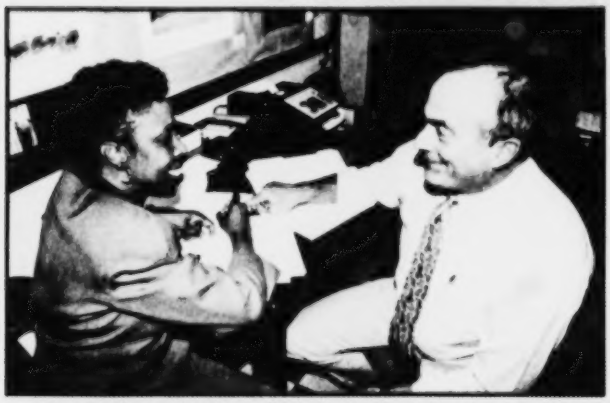
The principal and supervisor meet to discuss the evaluation report and to determine what has been accomplished with respect to each work plan. As a result of this meeting an evaluation report is developed on the basis of what the principal has accomplished. Results are important in evaluating a principal's performance, but results must be evaluated with respect to the nature of the outcomes being pursued. One principal might receive an outstanding evaluation for making some progress in addressing some very challenging needs, while another might receive a good evaluation for achieving the results desired with respect to some routine needs.

A common question asked by principals is I can accept this process of being evaluated with respect to the objectives I set with my supervisor, but when do I get credit for all the other things I do? When using the approach described, it is assumed that the principal is exhibiting quality performance with respect to those proficiencies relevant to his or her position. This is why the approach focuses on the school improvement and professional growth purposes of principal evaluation, with less attention on the accountability purpose of evaluation. It is the consensus of the experts who consulted with the Principal Evaluation Committee that this is the most professional way to evaluate most principals. This is not to say that a supervisor should not go beyond the work plan and cite particular aspects of a principal's overall performance which merit commendation when developing that principal's evaluation report. Including such information in the evaluation report would tend to reinforce those positive things the principal does on a day-to-day basis.

A second purpose for the May meeting between the principal and supervisor is to begin planning for the next evaluation cycle. It is conceivable that work on some of the needs addressed during the prior year will be extended into the next evaluation cycle. Also, new needs will be addressed for the next school year. Since this meeting is held in May, feedback can be obtained from staff regarding the needs being considered for the next evaluation cycle.

In reflecting upon the process just presented, it is important to emphasize that commitment is critical to the success of this approach. In school settings where principals and their evaluators have committed themselves to and are pursuing this process in an atmosphere of trust and collaboration, the benefits have been substantial in both principal growth and school improvement. The challenge to school systems is to make principal evaluation a productive process, one where trust and good communication between the principal and evaluator minimize any unnecessary stress or conflict which could develop as a result of this process.

Applying the Principal Evaluation Process: A Case Study



Alice Dickens, Assistant Superintendent, Hartford Public Schools, reviews evaluation goals with a staff member.

The following case study has been included to illustrate how the principal evaluation process just described might be applied. Dale Smith is a principal in a moderate-size Connecticut school system. For evaluation purposes, Smith is responsible to L. K. Jones, the assistant superintendent. Jones has been working with the Board of Education on setting goals for the school system for the next five years. Teachers and administrators participated actively in this process and support the goals identified by the board. The board's primary long-range goal is *to enhance student learning by strengthening the quality of instruction in schools.*

Determine Needs

As noted earlier, this step is the most signficant since the school improvement and professional growth needs which will be addressed through the principal evaluation process are identified at this time. Given the primary goal of the board, Smith identified *strengthening the quality of instruction* as a priority school improvement need. Then the question became, "What could Smith do to make an impact in this area?" She did some brainstorming to identify potential directions which might be pursued to improve the quality of instruction. She also solicited feedback from staff using the **Performance Guide**.

Smith obtained the **Performance Guide** from a colleague who developed the instrument to obtain feedback from his staff in the following areas: (a) personal responsibilities, (b) administrative and professional responsibilities, (c) community responsibilities, (d) management of facilities, (e) instructional supervision, (f) student relationships and (g) staff relationships. Smith decided to use the **Performance Guide** in late May to solicit feedback from her staff in three areas: administrative and professional responsibilities, instructional supervision and staff relationships. The feedback received indicated that Smith had good relationships with her staff and that they believed she was a good administrator. Feedback also included many constructive suggestions for how Smith could strengthen her performance. Those comments that had relevance for *strengthening the quality of instruction*, indicated that Smith needed

- to get into classrooms more often;
- to be more constructive in evaluating teachers' performance; and
- to become more involved in helping teachers to grow and improve.

As Smith reviewed this feedback, it became clear that she needed to strengthen her performance with respect to two proficiencies: *(11.) Evaluates professional and support staff constructively* and *(12.) Coaches teachers to enhance their instructional effectiveness.*

In summary, the process used by Smith resulted in the identification of *strengthening the quality of instruction* as the primary school improvement need to be addressed in the principal evaluation process. It became evident that Smith could contribute to this school improvement need by addressing the professional growth needs of evaluating staff more constructively and coaching teachers to enhance their instructional effectiveness. If Smith gets into classrooms more often, evaluates staff more constructively, and becomes more involved in helping teachers to grow and improve, then it seems logical that the quality of instruction in the school may be strengthened.

Formulate Work Plan for the Year

Smith and L. K. Jones met in early July to discuss the needs which might serve as the basis for Smith's evaluation in the future. Smith shared the needs she identified and Jones added some

needs he believed were of concern from his work with the superintendent and Board of Education. As a result of their discussions it was decided that Smith's evaluation would focus on the needs described below:

To implement the Parents as Partners Program *effectively*

The Board of Education believed that the quality of instruction could be strengthened if a more explicit role was identified for parents. During the prior school year the *Parents as Partners Program* was developed through community forums and meetings with teachers and PTO leaders. It is critical for Smith to implement this program effectively in her school during the coming school year.

To review and strengthen the math program

An evaluation of the basic skill achievement of students indicated that their performance was consistent with their ability in reading and language arts. In mathematics, 33 percent of the students were achieving at levels below their ability. Therefore, it is imperative that Smith work with staff in a timely manner to review and strengthen this program.

To evaluate staff more constructively

For the reasons noted earlier in this case study, it is important for Smith to focus on this need. Jones believed that as Smith strengthened her evaluation skills, she would get into classes more often and would become more involved in coaching teachers.

Once needs are identified, they must be translated into objectives which serve as a basis of the principal's evaluation. For each objective it is important to (a) delineate the activities to to be pursued as well as the timeline and (b) identify the indicators which will serve as evidence that the objective has been achieved. This information is recorded on a form such as the Objective Action Plan presented in Exhibit 4. In Smith's case, three need areas will serve as the focus of her evaluation. Since it is not unusual to translate each need into three to four objectives, Smith's evaluation would be based on approximately 10 objectives, each with a separate action plan. Further discussion of the process of translating needs into objectives, and then developing various aspects of the action plan, is provided in the sections which follow.

Exhibit 4

Objective Action Plan

1. Need:	• To evaluate staff more constructively.
2. Objective:	• To develop a current knowledge of the principles of effective instruction.
3. Activities:	• Complete BEST assessor training in August. • Complete ASCD institute on "Looking into Teaching" in February. • Continuously apply the knowledge acquired through these experiences to the analysis of teaching performance.
4. Indicators:	• Confirmation that the assessor training has been completed as well as a brief paper reflecting on how this training has strengthened my understanding of the principles of effective teaching. • Confirmation that the ASCD institute has been completed as well as a brief paper reflecting on how this institute has strengthened my understanding ofthe principles of effective teaching. • Portfolio of teacher evaluation reports annotated to show how my understanding of the principles of effective instruction is being applied to the analysis of teaching performance.

Evaluatee's signature *Dale Smith*
Evaluator's signature *L. K. Jones* Date *8/9/90*

When translating needs into objectives, it is important for the principal and his or her evaluator to work collaboratively. For example, when Smith and Jones focused on the need *to evaluate staff more constructively*, the question was raised as to why Smith was having problems in this area. Through subsequent discussions, it became evident that although Smith was an excellent teacher before she became a principal, her current knowledge of the principles of effective instruction was limited. Also, Smith had little formal preparation with respect to classroom observation and conferencing skills. Thus, it became evident that the objectives which Smith needs to pursue *to evaluate staff more constructively* are as follows:

1.) *To develop a current knowledge of the principles of effective instruction*

Activities :
- Complete BEST assessor training in August
- Complete ASCD institute on "Looking into Teaching" in February
- Continuously apply the knowledge acquired through these experiences to the analysis of teaching performance

2.) *To acquire the skills necessary to conduct more effective classroom observations and conferences*

Activities :
- Complete fall regional educational service center workshop series on "Strengthening Your Observation and Conferencing Skills"
- Continuously apply the skills acquired through this workshop when conducting observations and conferences

3.) *To use the knowledge and skills which have been acquired to evaluate staff more constructively*

Activities:
- Use part of the summer to plan a series of workshops for staff on the "Essence of Effective Teaching." The purpose of these workshops is to share current knowledge regarding the principles of effective instruction.
- Implement the workshop series during the fall and assess its effectiveness.
- Begin in January to assess the effectiveness of at least one evaluation conference each week using the Conference Quality Review process.

The activities which Smith and Jones decided would be pursued for each objective are noted above. A two-year timeline has been established for these objectives. During year one, Smith will focus on acquiring the knowledge and skills referenced in Objectives 1 and 2. Then Smith will focus on Objective 3 over the interim summer and into the second school year by applying such knowledge and skills *to evaluate staff more constructively.*

The final aspect of developing a work plan consists of identifying indicators for each objective which will serve as evidence that the objective has been achieved. As noted in Exhibit 4, these indicators are often a product of the activities which have been pursued.

In reflecting upon these first two steps of **determining needs** and **developing a work plan**, it is evident that they take a lot of time and effort. That is why school systems are encouraged to complete these steps in the principal evaluation process over the summer. The principal evaluation process tends to have a greater impact on enhancing school effectiveness in those school systems which commit the time necessary to following these steps.

Complete and Implement the Work Plan

As a result of their work over the summer, Smith and Jones have completed a work plan for

each of the needs which serve as a basis for Smith's evaluation. For each need, a series of objectives have been developed and an Objective Action Plan has been completed for each objective. This work plan is then implemented and monitored both informally and formally. The plan should be monitored informally on a continuing basis. As Smith and Jones work together over the year, Smith's progress with respect to her work plan should be discussed periodically. The plan also should be monitored formally at least twice. December and March tend to be good times to review the work plan formally. A formal review of the work plan is more comprehensive than an informal review and results in a written report. As the work plan is monitored, either formally or informally, circumstances may develop which require that the plan be modified. Smith and Jones would make any such modifications in writing.

Assess and Discuss Results

In May, Smith develops an evaluation report of her accomplishments with respect to her work plan for the school year and shares this report with Jones. Jones meets with Smith to discuss this report. As a result of this meeting Jones prepares a written evaluation of Smith's performance. This written evaluation focuses on Smith's accomplishments with respect to her work plan and may include other aspects of her overall performance.

Editor's note: *The* **Performance Guide** *referred to in this case study was developed by Robert F. Martino, principal, Oxford Center School, 462 Oxford Road, Oxford, CT 06483*

Principal Evaluation for More Effective Schools: Some Concluding Remarks

A Guide to the Process of Evaluating School Principals was developed to provide direction to school systems as they strengthen their procedures for evaluating principals. As the experts who worked with the Principal Evaluation Committee indicated, the bottom line in principal evaluation is whether or not the principal can get the job done effectively. Getting the job done effectively depends largely on how well the principal can work with and through staff to meet those needs critical to strengthening the quality of the school and its programs. Getting the job done effectively is more than the bottom line in the principal evaluation process. It is one of the central themes in the more effective schools literature. Principals of more effective schools are successful in strengthening the quality of their schools' programs. Wimpelberg (1987) notes that school effectiveness is enhanced in settings where central office and school administrators simultaneously challenge and support each other (p. 107). Effective principal evaluation is a means for providing this support. As school system personnel consider whether their principal evaluation practices need to be strengthened, the key question should be how effective is our current process in supporting principals' school improvement efforts?

References

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Leithwood, K. A. "Using *The Principal Profile* to Assess Performance." *Educational Leadership*, 45 (1), 63-66, 1987.

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Wimpelberg, R. K. "The Dilemma of Instructional Leadership and a Central Role for Central Office." In W. Greenfield (ed.), *Instructional Leadership: Concepts, Issues, Controversies*. Boston: Allyn and Bacon, Inc., 1987.

Appendix

A. An Annotated Bibliography of Primary References on the Abilities, Competencies and Skills of the Principal

B. Proficiencies of the Effective Principal Cross-Referenced to the Major Studies of the Abilities, Competencies and Skills of the Principal

C. The *Principals' Survey*

A—An Annotated Bibliography of Primary References on the Abilities, Competencies and Skills of the Principal

When the Principal Evaluation Committee initiated its work during fall 1988, a comprehensive review of the literature was conducted on the abilities, competencies and skills of the principal. The more significant references identified through this review are listed and annotated below.

Andrews, R. L. and Soder, R. "Principal Leadership and Student Achievement." *Educational Leadership*, 44 (7), 9-11, 1987.

> The authors provide data to support the position that students in schools where principals exert a stronger instructional leadership role exhibit greater achievement gains on standardized tests than do students in schools where the principal assumes a weaker instructional leadership role.

Connecticut State Department of Education. "Administrator Competencies." In Gable, R. K.; Vatour, J. A. Strauch, J. D. and Melnick, S. A. *Needs Assessment for Determining Teacher and Administrator Perceived Staff Development Priorities*. Hartford, CT: Institute for Teaching and Learning, 1986.

> This needs assessment was distributed to administrators throughout Connecticut by the Institute for Teaching and Learning. Information was to be used for training purposes. The competency statements were developed by a committee of educators convened by the Connecticut State Department of Education.

Croghan, J. H. and Lake, D. G. "Competencies of Effective Principals and Strategies for Implementation." *Occasional Papers in Educational Policy Analysis* (Paper No. 410). Research Triangle Park, NC: Southeastern Regional Council for Educational Improvement, November 1984.

> This report identifies the competencies of high performing principals based on a study conducted by the Florida Council on Educational Management (FCEM). Competencies are divided into clusters which correspond to the many dimensions of the principal's job.

Duke, D. L. *School Leadership and Instructional Improvement*. New York: Random House, 1987.

> The initial chapter of this book, "Thinking About the Effectiveness of School Leaders," includes an interesting discussion of leadership competencies critical to principal effectiveness.

Duttweiler, P.C. and Hord, S.M. *Dimensions of Effective Leadership*. Austin, TX: Educational Development Laboratory, 1987.

> This extensive review of the literature on the competencies of effective administrators was sponsored by the U. S. Department of Education, Office of Educational Research and Improvement. An 11-page reference list attests to the comprehensiveness of this document.

Gottfredson, G.D. and Hybl, L.G. *Inventory of the School Administrator's Job: Feedback for Survey Participants*. Baltimore, MD: Johns Hopkins University Center for Research on Elementary and Middle Schools, Center for Social Organization of Schools, December 1986.

> This report summarizes the main results of a job analysis accomplished by using a structured task analysis inventory. It summarizes what principals in schools of different kinds report to be the most important aspects of their jobs. The study includes public and private school principals.

Greenfield, Jr., W. I. *Research on Public School Principals: A Review and Recommendations.* Final Report to the National Institute of Education, Department of Education, under contract number 81-02-08, 1982.

The author reviews the research on effective principals and identifies four personal characteristics which are related to strong leadership qualities in principals. Recommendations include on-going training for principals as well as better selection and evaluation methods.

Lake, D. G. *High Performing Principals: A Synthesis. A Review of Literature and Resources on High Performing Principals.* Report presented to the Florida Council on Educational Management, 1981.

The author identifies traits of effective principals and divides these into clusters which represent the different responsibilities of the principal.

Leithwood, K. A. and Montgomery, D. "The Role of the Elementary School Principal in Program Improvement." *Review of Educational Research*, 52(3), 303-339, 1982.

The authors divide principals into "effective" and "typical" and reveal very interesting characteristics about effective principals.

Leithwood, K. A. and Stager, M. *Differences in Problem-Solving Processes Used by Moderately and Highly Effective Principals.* Paper presented at the Annual Meeting of the American Educational Research Association, San Francisco, April 1986.

The paper focuses on the importance of effective problem-solving strategies which empower principals to act more flexibly in creating strategies and achieving their goals.

Leithwood, K. A. *Evaluating Principals' Contributions to School Improvement.* Paper presented to the Connecticut Principals' Academy, October 1988.

The author identifies competencies needed for principals in modern schools and suggests the need to reconceptualize the principalship from a "job" to a process. An appraisal system based on a five-year cycle is suggested.

Lyons, J. E. "Competencies Needed by Beginning Principals." *NAASP Bulletin*, 65 (446), 59-66, 1981.

The article focuses on skills that beginning principals need to master and those that they need some knowledge of before being selected. Veteran principals and superintendents were probed through a questionnaire.

McCurdy, J. *The Role of the Principal in Effective Schools.* (AASA Critical Issues Report). Sacramento, CA, Educational News Service, 1983.

What the principal's role typically is, what it ideally should be, and how it can be changed are topics of this report. Research on characteristics of principals in effective schools is examined and valuable administrative skills are noted.

National Association of Elementary School Principals. *Proficiencies for Principals.* Alexandria, VA: National Association of Elementary School Principals, 1986.

Proficiencies for elementary school principals are identified and categorized under four major headings (experience/education, leadership, supervisory and administrative). The report elaborates on these categories together with abilities and skills of K-8 principals.

Persell, C. H. and Cookson, Jr., P. W. "The Effective Principal in Action." In *NASSP: The Effective Principal: A Research Summary*. Reston, VA: National Association of Secondary School Principals, 1982.

The report summarizes the qualities of the effective principal and establishes the relationship between the principals' actions and faculty attitudes. The report also looks at a new definition of leadership for principals.

Redfern, C. *Evaluating Teachers and Administrators: A Performance Objective Approach*. Boulder, CO: Westview Press, 1980.

The author looks at current methods for evaluating principals and suggests ways for adapting traditional evaluation models to the reality of principals today.

Sashkin, M. *Principal Selection Guide*. Washington, DC: Office of Educational Research and Improvement, U.S. Department of Education, 1987.

The author contends that all major responsibilities of effective principals fall under three areas: creating a vision, creating conditions to achieve the vision, and inspiring, encouraging and rewarding achievement. He emphasizes not only managerial and instructional activities but the need to provide the motivation to excel.

Sashkin, M. and Huddle, G. "Recruit Top Principals." *The School Administrator*, 45 (2), 8-15, February 1988.

The article identifies 13 task dimensions characteristic of effective school principals. They advocate using assessment and recruitment techniques based on these task dimensions in selecting new candidates. Moreover, orientation and training for existing staff should be undertaken.

Valentine, J. W. and Bowman, M. *Audit of Principal Effectiveness: A User's Technical Manual*. Available from authors at 2617 Walther, Columbia, MD 65203 or ERIC document Reproduction Service (no. EA 019397), 1986.

An 18-page manual for an instrument designed and validated to determine teacher's perceptions of a principals' effectiveness. Factors within each of three domains evolved from a review of the research.

Notes

B—Proficiencies of the Effective Principal Cross-Referenced to the Major Studies of the Abilities, Competencies and Skills of the Principal

Primary references on the abilities, competencies and skills of the principal included in the annotated bibliography in Appendix A were reviewed and analyzed carefully to select those studies which would be most helpful in deriving the proficiencies of effective principals in Connecticut. Eight major works were identified through this process. These studies are listed across the top of each of the tables which follow. Reference is made to the Connecticut State Department of Education (CSDE) in the first column. This reference pertains to the Administrator Competencies developed earlier by the CSDE. The proficiencies derived through the work of the Principal Evaluation Committee are listed down the left side of each of these tables. Whether a proficiency was included in the earlier Administrator Competencies or the extent to which a particular proficiency is supported by the literature can be determined by locating that proficiency and then reading across the table. A check (√) in a particular column indicates that either the proficiency was included in the earlier work of the department or that it is supported through one of the major studies. Readers are reminded that the complete reference for each of these major studies is included in the preceding annotated bibliography.

The Connecticut Principals' Academy
Proficiencies of the Effective Principal Cross -Referenced to the Major Studies of the Abilities, Competencies and Skills of the Principal

Proficiencies	CSDE	Duttweiler & Hord (1987)	Gottfredson & Hybl (1986)	Lyons (1981	McCurdy (1983)	NAESP (1986)	Sashkin (1987)	Sashkin & Huddle (1988)	Valentine & Bowman 1986
LEADERSHIP									
Defining Direction									
1. Exercises vision in defining the school mission and goals		√	√		√	√	√		√
2. Effectively and clearly communicates goals within and without the school community	√	√		√	√	√	√		√
3. Sets high expectations and standards for attainment of school goals		√			√	√	√		√
4. Identifies and analyzes relevant information before making decisions or committing resources		√	√		√	√			√
5. Provides incentives to excel for both teachers and students		√			√	√	√		
6. Communicates clearly and persuasively		√	√		√	√	√		√
7. Serves as a role model		√			√	√	√		√
Instructional Development									
8. Monitors student achievement		√	√	√	√	√	√		√
9. Collects, analyzes and interprets student and school data to identify areas for instructional and program development		√		√	√	√	√		√
10. Uses knowledge of research in curriculum and instruction to initiate school improvement	√	√	√		√	√	√		√
11. Evaluates professional and support staff constructively	√	√	√	√	√	√	√		√
12. Coaches teachers to enhance their instructional effectiveness	√	√	√	√	√	√	√		√
13. Engages in a program of ongoing professional development	√	√		√		√			

The Connecticut Principals' Academy
Proficiencies of the Effective Principal Cross -Referenced to the Major Studies of the Abilities, Competencies and Skills of the Principal

Proficiencies	CSDE	Duttweiler & Hord (1987)	Gottfredson & Hybl (1986)	Lyons (1981	McCurdy (1983)	NAESP (1986)	Sashkin (1987)	Sashkin & Huddle (1988)	Valentine & Bowman 1986
HUMAN RELATIONS									
Consideration									
14. Gives specific and frequent feedback		√	√		√		√		√
15. Maintains positive school climate through the use of humor					√				√
16. Recognizes and praises the accomplishments of students, teachers, and staff		√	√		√	√	√		√
Collaboration									
17. Fosters teamwork and collegiality	√	√	√	√	√	√	√		√
18. Elicits participation in decision making	√	√		√	√	√	√		√
19. Facilitates group processes and resolves conflict	√	√	√	√	√		√		
20. Encourages participatory leadership on the part of the staff	√	√		√	√	√	√		√
21. Listens to others		√				√	√		√

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Proficiencies	CSDE	Duttweiler & Hord (1987)	Gottfredson & Hybl (1986)	Lyons (1981	McCurdy (1983)	NAESP (1986)	Sashkin (1987)	Sashkin & Huddle (1988)	Valentine & Bowman 1986
MANAGEMENT									
School Program Management									
22. Plans and prepares an appropriate budget and manages funds effectively		√	√	√	√	√	√		√
23. Seeks and allocates appropriate resources (materials, money, time) to support curriculum		√	√		√	√	√		
24. Implements school programs within the confines of district goals and policies		√	√	√	√	√	√		√
25. Schedules curricular and co-curricular activities efficiently and effectively		√	√	√	√	√	√		√
26. Understands and applies knowledge of organizations and community politics in generating support for the school		√	√		√	√	√		√
27. Fosters community support for the school and its programs		√	√	√	√	√	√		√
Rules and Regulations									
28. Identifies norms, guidelines, and procedures for school operation		√	√	√	√	√	√		√
29. Develops clear school rules		√	√	√	√	√	√		√
30. Develops an effective discipline policy		√	√	√	√	√	√		√
31. Accepts responsibility for in-school behavior of students, teachers, and staff.		√			√				
General Operations									
32. Monitors the overall operation of the school	√		√	√		√	√	√	√
33. Ensures that the physical plant is kept in good order	√	√	√	√		√	√	√	
34. Protects instructional time	√	√			√	√	√		
35. Maintains a visible presence in the school			√			√	√		√

PRINCIPALS' SURVEY

Studies of effective schools have cited the role of the principal as being critical to school success. However, the literature does not provide sufficient information as to those behaviors which are key to a principal's effectiveness. The purpose of this study is to identify those behaviors which principals in Connecticut believe are essential to their effectiveness. Please take a few moments from your hectic end of the year schedule to help us in this regard by completing this survey.

Demographic Data

Please complete the background information items listed below:

1. Education Background (check highest degree earned):

   _____ BA/BS _____ Ph.D./Ed.D.
   _____ MA/MS _____ 6th year diploma/30 credits
   Other: (explain)_____
   _____

2. Gender:

   _____ Female _____ Male

3. Experience:

   _____ Years in educational administration _____ Years in current position

4. Level of Assignment: (check the one that best describes)

   _____ elementary _____ junior high
   _____ middle school _____ senior high

6. School size (total number of students):

   _____

Directions

*Listed below are a series of behaviors taken from the literature on the principalship. Please review each behavior. Then indicate **how important the behavior is to your effectiveness in your current position.** Use the scale below when rating each behavior.*

Importance				
very low	low	medium	high	very high
1	2	3	4	5

How important is each of these behaviors to your effectiveness in your current position?

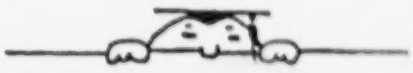
		Rating
1.	Sets high expectations and standards for attainment of school goals	_____
2.	Exercises vision in defining the school mission and goals	_____
3.	Gives specific and frequent feedback	_____
4.	Demonstrates instructional leadership	_____
5.	Provides incentives to excel for both teachers and students	_____
6.	Maintains positive school climate through the use of humor	_____
7.	Communicates clearly and persuasively	_____
8.	Identifies norms, guidelines, and procedures for school operation	_____
9.	Collects, analyzes, and interprets student and school data to identify areas for instructional and program improvement	_____
10.	Plans and prepares an appropriate budget and manages funds effectively	_____
11.	Develops clear school rules	_____
12.	Monitors student achievement	_____
13.	Identifies and analyzes relevant information before making decisions or committing resources	_____
14.	Seeks and allocates appropriate resources (materials, money, time) to support curriculum	_____
15.	Implements school programs within the confines of district goals and policies	_____
16.	Uses knowledge of research in curriculum and instruction to initiate school improvement	_____
17.	Accepts responsibility for in-school behavior of students, teacher, and staff	_____
18.	Identifies and uses a variety of strategies for achieving school goals	_____
19.	Engages in program of ongoing professional development	_____
20.	Uses long and short term planning strategies	_____
21.	Encourages, recognizes, and praises accomplishments of students, teachers, and staff	_____
22.	Fosters teamwork and collegiality	_____

Importance				
very low	low	medium	high	very high
1	2	3	4	5

How important is each of these behaviors to your effectiveness in your current position?

Rating

23. Effectively and clearly communicates goals within and without the school community _____
24. Promotes a sense of caring and respect for others _____
25. Develops an effective discipline policy _____
26. Elicits participation in decision making _____
27. Facilitates group processes and resolves conflicts _____
28. Serves as a role model _____
29. Schedules curricular and co-curricular activities efficiently and effectively _____
30. Understands and applies knowledge of organizations and community politics in generating support for the school _____
31. Protects instructional time _____
32. Maintains a visible presence in the school _____
33. Ensures that the physical plant is kept in good order _____
34. Monitors the overall operation of the school _____
35. Considers needs and feelings of students, staff, and parents when making decisions _____
36. Demonstrates effective personnel management practices (selection, inservice, assignment) _____
37. Coaches teachers to enhance their instructional effectiveness _____
38. Encourages participatory leadership on the part of the staff _____
39. Fosters community support for the school and its programs _____
40. Evaluates professional and support staff constructively _____
41. Listens to others _____



Thank You for Returning Me

Please return your survey in the self-addressed envelope provided.

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The Connecticut Principals' Academy

Mission: To offer professional, intellectual, and personal growth experiences for principals in order to improve student learning.

Founded 1985